

04-16-01

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04/12/01

J1041 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new non-provisional applications under 37CFR§1.53(b))

Attorney Docket  
No.

CDM/8139.999

First Inventor or Application  
Identifier

Frühm, Hermann

Title

THEATRICAL LIGHTING SYSTEM WITH MOVING  
LIGHTS

Express Mail Label No.

EL744771656US

 09/835189  
 04/12/01

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

 ADDRESS TO: Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, D.C. 20231

 1. ☒ \*Fee Transmittal Form (e.g. PTO/SB/17)  
 (Submit an original and a duplicate for fee processing)

 2. ☒ Applicant claims small entity status  
 See 37 C.F.R. 1.27

 3. ☒ Specification [Total pages 19]  
 (preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Federally Sponsored R&D
- Reference to sequence listing, a table or a computer program listing
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

 4. ☒ Drawing(s) (35 U.S.C. 113) [Total Pages 6]

5. Oath or Declaration [Total Pages 3]

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
 (for continuation/divisional with Box 17 completed)
  - i. ☐ Deletion of Inventor(s)

Signed statement attached deleting inventor(s)  
named in the prior application, see 37

C.F.R.

§§1.53(d)(2) and 1.33(b)

6. ☐ Application Data Sheet. See 37 C.F.R. 1.76
 7. ☐ CD-ROM or CD-R in duplicate, large table, or Computer  
 Program (Appendix)

 8. Nucleotide and/or Amino Acid Sequence Submission  
 (if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on

i. ☐ CD-ROM or CD-R (2 copies) orii. ☐ paperc. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
 10. ☒ 37 C.F.R. §3.73(b) Statement ☒ Power of Attorney  
 (when there is an assignee)
11. ☐ English translation document (if applicable)
 12. ☐ Information Disclosure Statement (IDS) /PTO ☐ Copies of IDS  
 Citations
13. ☐ Preliminary Amendment
 14. ☒ Return Receipt Postcard (MPEP 503)  
 (should be specifically itemized)

 15. ☐ Certified Copy of Priority Document(s)  
 (if foreign priority is claimed)

 16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)  
 (i) Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other - Check in the sum of \$746

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 C.F.R. 1.76.

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_/\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group No./Art Unit \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert customer number or attach bar code label here)

or ☒ Correspondence address below

Name Charles D. McClung

Address Chernoff, Vilhauer, McClung &amp; Stenzel, LLP | 1600 ODS Tower, 601 S.W. Second Avenue

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Telephone (503) 227-5631

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Name (print/ type) Charles D. McClung

Registration No. (Attorney/Agent)

26,568

Signature

Date

04/12/01

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete If Known

Application Number  
Filing Date April 12, 2001  
First Named Inventor Fröh, Hermann  
Examiner Name  
Group/ Art Unit  
Attorney Docket No. CDM/8139.999

TOTAL AMOUNT OF PAYMENT \$746

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge the indicated fees and credit any over payments to:

Deposit Account Number 03-1550  
Deposit Account Name Chernoff Vilhauer McClung & Stenzel

☒ Charge any additional fee required under 37 CFR 1.16 & 1.17

2. ☒ Payment Enclosed

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					\$355

### 2. EXTRA CLAIM FEES

Total Claims	Indep. Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
44	2		20** = 24 x 9 = 216		
			3** = 0 x 0 = 0		
					135

\*or number of previously paid, if greater. For reissues, see below.

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	*Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$351

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 C.F.R. 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 C.F.R. 1.129(b))	
169	900	169	900	Request for Expedited Examination of a Design Application	


Other (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$40

## SUBMITTED BY

Complete (if applicable)

Name (print type)	Charles D. McClung	Registration No.	26,568	Telephone	(503) 227-5631
Signature		Date	April 12, 2001		

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE UNDER 37 CFR §3.73(b)

Applicant : Frühm, Hermann  
Application No. : \_\_\_\_\_ Filed: Concurrently herewith  
Title : THEATRICAL LIGHTING SYSTEM WITH MOVING LIGHTS  
(Assignee) : Frühm, Hermann, an individual  
(Type of Assignee, e.g., corporation, partnership,  
university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached. (Where one or more of the documents is unrecorded.)

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to sign this Certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : April 12, 2001  
Name : Charles D. McClung  
Title : Attorney for the Assignee (copy of Power of Attorney is attached)

Signature: 

Chernoff, Vilhauer, McClung & Stenzel, LLP  
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